

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371.

LA/Amey/18 Data Number
JC17 Rec'd PCT/PTO 05 JUN 2001
053775-5001
U.S. Application No. **09/857496**
Unassigned

International Application. No.	International Filing Date	Priority Date Claimed
PCT/US01/11748	May 4, 2001	May 4, 2001

Title of Invention

Derivative Securities and System for Trading Same

Applicants For DO/EO/US

Bradley J. McGill and Evan J. Winston

Applicants herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventors (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 14. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☒ Other items or information:
 - a. Power of Attorney by Assignee and Certificate Under 37 C.F.R. 3.73(b)

U.S. APPLICATION NO.

INTERNATIONAL APPLICATION NO.

JC18 Rec'd PCT/PTO 0 5 JUN 2001

09/857496

PCT/US01/11748

053775-5001

15. [X] The following fees are submitted:

Basic National Fee (37 CFR 1.492(a)(1)-(5)):

Search Report has been prepared by the EPO or JPO.....\$860.00

International preliminary examination fee paid to

USPTO (37 CFR 1.482).....\$690.00

No international preliminary examination fee paid to

USPTO (37 CFR 1.482) but international search fee
paid to USPTO (37 CFR 1.445(a)(2)).....\$710.00

Neither international preliminary examination fee

(37 CFR 1.482) nor international search fee

(37 CFR 1.445(a)(2)) paid to USPTO.....\$1000.00

International preliminary examination fee paid to USPTO

(37 CFR 1.482) and all claims satisfied provisions

of PCT Article 33(2)-(4).....\$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 710.00

Surcharge of \$130.00 for furnishing the oath or declaration later than

[] 20 [] 30 months from the earliest claimed priority date

(37 CFR 1.492(e)).

\$

Claims	Number Filed	Number Extra	Rate	
Total Claims	64 - 20 =	44	X \$18.00	\$ 792.00
Independent Claim	8 - 3 =	5	X \$80.00	\$ 400.00
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$

TOTAL OF ABOVE CALCULATIONS =

\$1,902.00

Reduction by 1/2 for filing by small entity, if applicable. (Note 37 CFR 1.9, 1.27, 1.28)

\$ 951.00

SUBTOTAL =

\$ 951.00

Processing fee of \$130.00 for furnishing the English translation later than [] 20 [] 30 months from the earliest claimed priority date

(37 CFR 1.492(f)).

+ \$

TOTAL NATIONAL FEE =

\$ 951.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet

(37 CFR 3.28, 3.31).

\$40.00 per property

+ \$ 40.00

TOTAL FEES ENCLOSED =

\$ 991.00

Amount to be

refunded

\$

charged

\$ 991.00

- a. [X] A check in the amount of **\$991.00** to cover the above fees is enclosed.
- b. [] Please charge my Deposit Account No. 50-0310 in the amount of \$-0- to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. [X] **Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 CFR §1.16 and §1.17 which may be required, or credit any overpayment to Deposit Account No. 50-0310.

Customer No. 09629

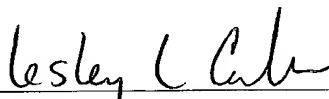
SEND ALL CORRESPONDENCE TO:

Morgan, Lewis & Bockius LLP

1800 M Street, N.W.

Washington, D.C. 20036

(202) 467-7000



Lesley L. Coulson

Reg. No. 46,642

Submitted: June 5, 2001

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

DELTA Rangers, Inc., a United States corporation, certifies that it is:

1. ☒ an assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the application identified above by virtue of:

- A. An assignment from the inventor(s) of the application identified above. The assignment was recorded as follows:

FROM	TO	REEL/FRAME NO.
		Reel: Frame:

OR

- B. A chain of title from the inventors, of the application identified above, to the current assignee as shown below:

1. From: Bradley J. McGill and Evan J. Winston

To: DELTA Rangers, Inc.

The document was recorded in the Patent and Trademark Office at Reel _____,
Frame _____, or for which a copy thereof is attached.

- ☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the Assignee.

DELTA Rangers, Inc.
616 Euclid Avenue
Birmingham, Alabama 35213

Dated: 15 May, 2001

By: _____

Bradley J. McGill
President